

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE (RO/US)**

INVENTORS(S) : SCHLOM, Jeffrey; HODGE, James; PANICALI, Dennis  
INT. APPLICATION NO. : PCT/US99/26866  
US APPLICATION NO. : 09/856,988  
INT. FILING DATE : 12 November 1999 (12.11.99)  
FOR : A RECOMBINANT VECTOR EXPRESSING MULTIPLE  
COSTIMULATORY MOLECULES AND USES THEREOF

**RESPONSE TO "NOTICE TO FILE MISSING PARTS"**

Box PCT  
Commissioner for Patents  
Washington, D.C. 20231  
DO/EO/US

Sir:

In response to the NOTICE TO FILE MISSING PARTS OF APPLICATION--FILING DATE GRANTED mailed July 25, 2001, Applicant(s) submit(s) herewith the following documents for appropriate action by the U.S. Patent and Trademark Office:

- ☒ Copy of Notice to File Missing Parts
- ☒ Executed Declaration signed in counterparts
- ☐ Application Filing Fees
- ☒ A check in the amount of \$130.00 for the surcharge is enclosed.
- ☐ Please charge the required fee of \$\_\_\_\_\_ to deposit account no. 13-4500, Order No. \_\_\_\_\_.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment to Deposit Account No. 13-4500, Order No. 2026-4292US1. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: September 25, 2001

By: \_\_\_\_\_

Caryn DeHoratius  
Registration No. 45,881

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11 Rec'd PCT/PTO SEP 24 2001

Docket No. 2026-4292US1

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**EXPRESS MAIL CERTIFICATE**

Express Mail Label No. EL912002462US

Date of Deposit September 25, 2001

I hereby certify that the following attached paper(s) and/or fees being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 Box PCT DO/EO/US.

1. Response to "Notice To File Missing Parts", 1 page;
2. Copy of Notice to File Missing Parts, 1 page;
3. Executed Declarations, 3 pages (in duplicate);
4. Check for \$130.00; and
5. Return postcard.

10/01/2001 MKAYPAH 00000163 09856908

01 FC:154

130.00 DP

Joan E Federici

(Typed or printed name of person mailing paper(s))

(Signature of person mailing paper(s) and/or fee)

CORRESPONDENCE ADDRESS:  
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UNITED STATES PATENT AND TRADEMARK OFFICE

10 SEP 2001

24 SEP 2001

8026-742001  
K. BrownCommissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/856988	SCHLOM J	2026-4292US1
INTERNATIONAL APPLICATION NO.		
PCT/US99/26866		
I.A. FILING DATE		PRIORITY DATE
12 NOV 99		09 DEC 98

MORGAN & FINNEGAN  
345 PARK AVENUE  
NEW YORK, NY 10154 0053

CORRECTED COPY—C.S.W.

DATE MAILED: 25 JUL 2001

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):
- ☒ U.S. Basic National Fee.
  - ☒ Copy of the international application.
  - ☐ Oath or Declaration of inventors(s).
  - ☐ Copy of Article 19 amendments.
  - ☐ Priority Document.
  - ☒ The International Preliminary Examination Report in English and its Annexes, if any.
  - ☐ Translation of Annexes to the International Preliminary Examination Report into English.
  - ☐ Indication of Small Entity Status.
  - ☐ Translation of the international application into English.
  - ☐ Translation of Article 19 amendments into English.
  - ☒ Other: IB 332, IPEA 408, INFO. DISCLOSURE STATEMENT, STATEMENT UNDER 37 C.F.R. 1.821(F), SEQUENCE LISTING
2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.
- ☐ U.S. Basic National Fee.
  - ☐ Copy of the international application.
3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
  - ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
  - ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
  - ☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
  - ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
  - ☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
4. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.
5. ☐ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920. ....

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

Enclosed: ☐ PCT/DO/EO/917 ☐ Notice of Defective Translation  
☐ PTO-875 ☒ PCT/DO/EO/920 AND THE RAW  
FORM PCT/DO/EO/905 (March 2001) SEG. LISTING  
ERROR REPORT

Christine S. Washington  
Telephone: 703-305-3752

CASE 2026-4292US1 ATTY KMB  
DUE DATE September 25, 2001  
STATUTORY DATE February 25, 2002  
BY J.M.